

December 4, 1997

MEMORANDUM TO: Distribution

FROM: Michael J. Rubino, Associate Director  
Acquisition Services Branch

SUBJECT: Policy Memorandum No. 97-019 – Contracting File Checklist

1. Purpose. The purpose of this Policy Memorandum No. 97-019 is to provide new Contracting File Checklists for use by all FDIC.
2. References. (a) APM 3.D.2.e., *Contract Administration Phase*, Page 3-16.  
(b) APM 5.C.1., *Receipt of the Requirements Package*, Page 5-7.  
(c) APM 6.B.1.a., *Receipt*, Page 6-7.  
(c) APM 7.A.2.m., *Contract Closeout*, Page 7-4.  
(d) APM 7.B.2.b., *Documentation*, Page 7-12.  
(e) APM 7.J.3., *Documentation*, Page 7-47.  
(f) APM 7.K.1.b., *File Checklist*, Page 7-49.  
(g) APM 7.K.2.b., *Purchase Order Files*, Page 7-49.  
(h) Exhibit XXIII, *Contracting File Checklists*.
3. Scope. This policy memorandum supplements Circular 3700.16, APM, dated October 3, 1996. It applies to all Contracting Officers and other Acquisition Services Branch personnel involved in establishing and maintaining contract files.
4. Background. APM 7.J.3. requires contract files to include all applicable items listed on the Contract File Checklist. The original file checklists were too complex and cumbersome for low dollar contracts and purchase orders. The new checklists are simplified and created for greater applicability to the stratified areas of *Formal Contracting*, *Simplified Contracting*, and for *Purchase Orders, \$2500 or less*.
5. APM Change. In accordance with the foregoing, APM 3.D.2.e., 5.C.1., 6.B.1.a., 7.A.2.m., 7.B.2.b., 7.J.3., 7.K.1.b., 7.K.2.b., and Exhibit XXIII are deleted in their entirety and revised as follows:

3.D.2.e. *Contract Administration Phase*. The contract administration phase involves all activities necessary to make sure that the contractor adheres to the terms and conditions of the awarded contract. In addition, it includes but is not limited to processing and paying invoices, tracking invoices against expenditure ceilings, executing modifications, handling claims and disputes, performing audit resolution, and resolving any contractual claims and disputes under the contract. This phase also involves completion of the appropriate contract checklist (See Exhibit XXIII, Contracting File Checklists) and all required contract closeout activities.

5.C.1. *Receipt of the Requirements Package.* The presolicitation process begins when the Contracting Officer receives a complete Requirements Package. The Requirements Package format is discussed in APM, 4, Preparation of the Requirements Package. Generally, under most simplified contracting requirements, the Requirements Package will consist of a Procurement Requisition with a description of the goods and services. Requirements Packages that are not complete (i.e., deficient so as to preclude processing) shall be promptly returned to the Program Office. The Contracting Officer shall either document in writing or discuss verbally with the Program Office all necessary corrections. In addition, the Contracting Officer shall review the Requirements Package to determine whether the requirement is appropriate for simplified procurement procedures. Upon receipt of this package, the Contracting Officer should begin completing the appropriate contracting file checklist. In Exhibit XXIII, there are checklists for Purchase Orders (\$2500 or less), Simplified Contracting, and Formal Contracting.

6.B.1.a. *Receipt.* The presolicitation process begins with the receipt of a complete Requirements Package. Contents of the Requirements Package are fully described in APM, 4.D.3.b., Requirements Packages. Upon receipt of this package, the Contracting Officer should begin completing the appropriate contracting file checklist in Exhibit XXIII.

7.A.2.m. *Contract Closeout.* Completion of the appropriate contract file checklist (Exhibit XXIII) and closing out the contract file.

7.B.2.b. *Documentation.* The Contracting Officer shall be responsible for the completion of the appropriate contract file checklist (Exhibit XXIII) and retain all pertinent documents in the FDIC's contract files.

7.J.3. *Documentation.* The contract file shall include all applicable items listed on the Contract File Checklist (Exhibit XXIII).

7.K.1.b. *File Checklist.* A file checklist (Exhibit XXIII) shall be signed and dated by the Contracting Officer on contract closeout to certify that all appropriate documents are filed.

7.K.2.b. *Purchase Order Files.* The purchase order files shall contain all applicable records and documents as required in the appropriate Contracting File Checklist, Exhibit XXIII, and shall include, but not limited to, the Procurement Requisition; official copy of the purchase order; statement of work, if applicable; related correspondence; and invoices. Purchase order files shall be handled as follows:

- (1) Purchase orders of \$100,000 or greater, may be destroyed 6 years and 3 months after final payment; and
- (2) Purchase orders of less than \$100,000 may be destroyed 3 years after final payment.

Exhibit XXIII. *CONTRACTING FILE CHECKLISTS* are deleted and replaced with revised and/or new checklists in their entirety.

6. Effective Date. This Policy Memorandum is effective immediately.
7. Contacts. If you have any questions, please contact David McDermott on (202) 942-3434.

Cc: Jane Sartori  
John Lynn  
DOA Associate Directors  
DOA Regional Managers  
Gaston Gianni

Attachments: Contracting File Checklists (3)

Distribution:

David McDermott  
Debbie Reilly  
Paul Wright  
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## FDIC PURCHASE ORDER (\$2500 OR LESS) FILE CHECKLIST

PURCHASE ORDER NO: _____	CONTRACT AWARD DATE: _____
DESCRIPTION OF SERVICES: _____	CONTRACTOR: _____
CONTRACT SPECIALIST: _____	TELEPHONE NO: _____
PROGRAM OFFICE	
REPRESENTATIVE: _____	TELEPHONE NO: _____

**INSTRUCTIONS: Check below as appropriate. (if not applicable, check N/A.)**

### PART – I

ITEM #		IN*	N/A*
<b>1</b>	<b>REQUIREMENTS PACKAGE</b>		
<b>2</b>	<b>SOLICITATION LIST</b>		
<b>3</b>	<b>SOLICITATION METHOD</b>		
	a) Oral		
	b) RFQ		
	c) Amendments		
<b>4</b>	<b>EVALUATION SUMMARY</b>		
	a) Oral RFQ Log		
	b) Abstract of Quotations/Offers		
	c) Successful Offer		
	d) Technical/Price Evaluation Documentation		
<b>5</b>	<b>CONTRACTOR VERIFICATION</b>		
	a) NCS Screen		

### PART – II

<b>6</b>	<b>AWARD</b>		
	a) Award Decision Documentation		
	b) Executed Purchase Order		
	c) POS Entry		
<b>7</b>	<b>MODIFICATIONS</b>		
	a) Procurement Requisition /Expenditure Authority		
	b) Fully Executed Modification		
<b>8</b>	<b>CONTRACTOR PAYMENT</b>		
	a) Invoice		
	b) Invoice Review Checklist		
<b>9</b>	<b>CONTRACTOR PERFORMANCE</b>		
	a) Delivery/Acceptance Documentation		
<b>10</b>	<b>GENERAL CORRESPONDENCE</b>		
<b>11</b>	<b>CLOSEOUT</b>		
	a) Goods/Services Accepted		
	b) Final Payment (Screen 19-out from POS)		

**\*EXPLAIN ANY NON-COMPLETED ITEMS**

# FDIC FORMAL CONTRACTING FILE CHECKLIST

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<b>RFP NO.:</b>	<b>DESCRIPTIONS OF SERVICES:</b>	<b>CONTRACT NO.:</b>	
<b>PROGRAM OFFICE (PO):</b>	<b>PROGRAM OFFICE REPRESENTATIVE:</b>	<b>PO REPORT NO.:</b>	
<b>CONTRACT AWARD DATE:</b>	<b>CONTRACT SPECIALIST:</b>	<b>OVERSIGHT MANAGER (OM):</b>	<b>OM EXTENSION:</b>
<b>CONTRACTOR:</b>		<b>POINT OF CONTACT (POC):</b>	<b>POC PHONE NO:</b>

<input type="checkbox"/> <b>CORPORATE</b>	<input type="checkbox"/> <b>CORPORATE LIQUIDATOR</b>	<input type="checkbox"/> <b>RECEIVERSHIP</b>
<input type="checkbox"/> <b>CONTRACT</b>	<input type="checkbox"/> <b>BASIC ORDERING AGREEMENT</b>	<input type="checkbox"/> <b>TASK ORDER</b>

**INSTRUCTIONS:**     *Check below as appropriate. (If not applicable, check N/A)*

ITEM #		IN	N/A
<b>PART 1 - SOLICITATION DOCUMENTATION</b>			
1	Requirements Package/Expenditure Aauthority		
2	Contract Milestone Schedule		
3	Source Selection Plan		
4	Solicitation List/MWOB Status		
5	RFP Package		
6	RFP Amendments		
7	Offerors Conference Documentation		
8	RFP Questions/Answers Documentation		
9	Proposal Submission List		
10	Proposals (Separate File with Evidence of Date/Time Stamped)		
11	Legal Review ( > \$100,000 )		
12	ODEO Review ( > \$ 50,000 )		
<b>PART II - PROPOSAL EVALUATION DOCUMENTATION</b>			
1	TEP Written Instructions/Technical Criteria Sheets		
2	TEP Kick-Off Meeting Documentation		
3	TEP Confidentiality & Conflict of Interest Certifications		
4	TEP Report		
5	TEP Members' Evaluation Rating Sheets		
6	TEP Members' Past Performance Questionnaire		
7	Price Proposal Scoring Documentation		
8	Combined Technical/Price Scoring Documentation		
9	Competitive Range Determination		
10	Clarifications Documentation		
11	Technical Discussions/Negotiations Documentation		
12	Best and Final Offer (BAFO) Requests		
13	BAFO Proposals (File with Original Proposals)		
14	Technical Evaluation of BAFO Proposals		
15	Addendum to TEP Report		
16	BAFO Price Proposal Scoring Documentation		
17	Combined BAFO Technical/Price Score		

ITEM #		IN	N/A
	<b>PART III – SELECTION DECISION DOCUMENTATION</b>		
1	Selection Recommendation Report		
2	Successful Offeror Proposal/BAFO Proposal		
3	Eligibility Certification Form		
4	Contractor Certification Form		
5	Background Investigation Documentation		
6	Reference Checks		
7	Financial Capability Review		
8	Pre-Award Survey		
9	Unsuccessful Offeror Letters		
10	Debriefing Material/Documentation		
11	Protest Material/Documentation		
	<b>PART IV – CONTRACT AWARD DOCUMENTATION</b>		
1	NCS Check (Disqualifying Conditions)		
2	Executed Contract		
3	Executed Contract Modifications		
4	Insurance Certificates		
5	Post-Award Kick-off Meeting (Internal)		
6	Contract Administration Plan		
7	Oversight Manager/Technical Monitor Letters		
8	OM/TM Notification to Contractor		
	<b>PART V CONTRACTOR PERFORMANCE/ADMINISTRATION DOCUMENTATION</b>		
1	Contractor Reports		
2	Site Visit Documentation		
3	Performance Documentation/Evaluations		
4	Deliverable Inspection and Acceptance Documentation		
5	Contractor Performance Evaluation Form		
6	Subcontracting Plan		
7	Quarterly Subcontracting Activity Report		
8	Invoices & Invoice Log		
9	Claims Material/Documentation		
	<b>PART VI – CORRESPONDENCE &amp; CLOSEOUT</b>		
1	Pre-Award Correspondence		
2	Post Award Correspondence		
3	Internal Emails		
4	Closeout Checklist		
5	Acceptance of Deliverables		
6	Final Payment Documentation		
7	Other Closeout Documentation		

## FDIC SIMPLIFIED CONTRACTING FILE CHECKLIST

<b>RFQ/RFP NO.:</b>	<b>DESCRIPTIONS OF SERVICES:</b>		<b>CONTRACT NO.:</b>	
<b>PROGRAM OFFICE (PO):</b>	<b>PROGRAM OFFICE REPRESENTATIVE:</b>		<b>PO REPORT NO.:</b>	
<b>CONTRACT AWARD DATE:</b>	<b>CONTRACT SPECIALIST:</b>	<b>OVERSIGHT MANAGER (OM):</b>		<b>OM EXTENSION:</b>
<b>CONTRACTOR:</b>		<b>POINT OF CONTACT (POC):</b>		<b>POC PHONE NO:</b>

[ ] **PURCHASE ORDER**

[ ] CONTRACT

**INSTRUCTIONS:** Check below as appropriate. (If not applicable, check N/A)

[illegible]